

Sheet 1 of 2

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Divisional 10/190,511
LIST OF REFERENCES CITED BY APPLICANT <i>(Use several sheets if necessary)</i>			FIRST NAMED INVENTOR Simon CAO	
			FILING DATE November 24, 2003	GROUP ART UNIT <i>2872</i> To-be Assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
CJLC	AA	5,283,846	02/01/94	Toyonaka et al.			
CJLC	AB	5,606,439	02/25/97	Wu			
CJLC	AC	5,768,005	06/16/98	Cheng et al.			
CJLC	AD	5,768,015	06/16/98	Pattie			
CJLC	AE	6,122,110	11/06/98	Toyonaka et al.			
CJLC	AF	5,912,766	06/15/99	Pattie			
CJLC	AG	6,088,153	07/11/00	Anthon et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO
CJLC	AH	0 123 456 A2	10/31/84	EPO			
	AI						
	AJ						
	AK						
	AL						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

TRANSLATION YES NO

CJLC	AM	Tanaka et al., Holographically formed liquid-crystal/polymer device for reflective color display, Journal of the Society for Information Display, February 1994, Vol. 2, No. 1, pp. 37-40		
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EXAMINER <i>Craig H. Curtis</i>	DATE CONSIDERED <i>12 May 2004</i>
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Sheet 2 of 2

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Div. of 10/190,511
LIST OF REFERENCES CITED BY APPLICANT <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR Simon CAO	
		FILING DATE November 24, 2003	GROUP ART UNIT 2872 To-be-Assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
CXEC	BA	4,548,478	10/22/85	Shirasaki			
CSEC	BB	4,712,880	12/15/87	Shirasaki			
CSEC	BC	5,033,830	07/23/91	Jameson			
CXEC	BD	5,499,132	03/12/96	Tojo et al.			
CSEC	BE	5,689,360	11/18/97	Kurata et al.			
CSEC	BF	5,845,023	12/1998	Lee			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO
	BG						
	BH						
	BI						
	BJ						
	BK						
	BL						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

TRANSLATION YES NO

BM		

EXAMINER	DATE CONSIDERED
<i>Craig H. Curtis</i>	<i>12 May 2004</i>

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ATTACHMENT 1(f)

LIST OF COPENDING APPLICATIONS	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Divisional 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	
FILING DATE	GROUP ART UNIT <i>2872</i>	
November 24, 2003	To be Assigned	

The following, prior-filed, copending U.S. patent application(s) is/are listed in accordance with the duty of disclosure provisions of 37 CFR § 1.56, so that the Examiner may consider same should he deem any thereof to be material to examination of the subject application. Pursuant to 37 CFR 1.98(a)(2)(iii), a copy of the identified copending application(s) is provided.

It is requested that the Examiner acknowledge his consideration of application(s) below-listed by initialling same in the space provided adjacent each such application and that the Examiner sign and date this form at the bottom thereof to confirm such consideration having been given.

This submission in no way represents an admission that any of the information listed herein constitutes prior art with respect to the subject application and unless and until such prior art status is established, this submission is not a request that the information presented herein be printed on the face of any patent issuing from the subject application in which this information is being filed.

U.S. PATENT APPLICATION DOCUMENTS

EXAMINER INITIAL		U.S. SERIAL NO.	FILING DATE	NAME	ASSIGNEE
<i>CAC</i>	1	10/190,511	07/09/02	Simon CAO	AVANEX CORPORATION
	2				
	3				
	4				
	5				
	6				
	7				
	8				

EXAMINER	DATE CONSIDERED
<i>Braig H. Curtis</i>	<i>12 May 2004</i>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

ATTACHMENT 1(g)

LIST OF ADDITIONAL SUBMITTED DOCUMENTS		ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Divisional 10/190,511
		FIRST NAMED INVENTOR Simon CAO	
		FILING DATE November 24, 2003	GROUP ART UNIT 2872 To be Assigned

The following document(s) is/are listed in accordance with the duty of disclosure provisions of 37 CFR § 1.56, so that the Examiner may consider same should he deem any thereof to be material to examination of the subject application. Pursuant to 37 CFR 1.98(a)(2)(iii), a copy of any identified copending application(s) is provided.

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
CSCC	AA	6,169,064	01/02/01	Simon X.F. Cao	356	519	02/10/99
CSCC	AB	6,310,690 B1	10/30/01	Simon X.F. Cao and Xiaoping Mao	356	519	09/01/99
CSCC	AC	6,532,316	03/11/03	Simon Cao			11/10/99
CSCC	AD	6,480,331	11/12/02	Simon Cao			11/10/99

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO
CSCC	AC	EP-0123456-A2	01/2000	EPO (Doe et al.)			

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

CSCC	AD	PCT Notification of Transmittal of International Preliminary Examination Report, PCT International Preliminary Examination Report (no mailing date), in corresponding PCT International application No. PCT/US00/39017
CSCC	AE	PCT Notification of Transmittal of International Preliminary Examination Report, mailed February 19, 2002, including PCT International Preliminary Examination Report in International Application No. PCT/US0030-916 corresponding to co-pending application U.S. Serial No. 09/438,043 (Now U.S. Patent No. 6,532,316).

EXAMINER

Craig H. Curtis

12 May 2004

ATTACHMENT 1(g)

LIST OF ADDITIONAL SUBMITTED DOCUMENTS	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Div. of 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	

FILING DATE	GROUP ART UNIT
November 24, 2003	To be Assigned

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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

TRANSLATION	
YES	NO

BA	Kreifeldt, E., "Avanex Emerges with 'Photonic Process' Technology", http://news.fiberopticsonline.com/news-analysis/19990429-1759.html , pp. 1-6, 4/29/99		
BB	Written Opinion, mailed August 29, 2001, in International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
BC	Written Opinion, mailed October 31, 2001, in International Application No. PCT/US00/30917 (corresponding to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
BD	International Search Report, dated April 4, 2001, for International Application No. PCT/US00/30917 (which corresponds to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
BE	International Search Report, dated March 1, 2001, for International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
BF	Lee et al., "Bidirectional Wavelength-Selective Optical Isolator", 5 July 2001, ELECTRONICS LETTERS, vol. 37, No. 14, pp. 910-912		

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